

# **CONTINUING (1.53(b)) UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for continuing applications under 37 CFR 1.53(b))

Attorney Docket No.  
1330.1038C

First Named Inventor:  
Laurence HONARVAR, et al.

Title: **DECISION MANAGEMENT SYSTEM WITH  
AUTOMATED STRATEGY OPTIMIZATION**

Express Mail Label No.

U.S. PTO  
31353  
10/756387

## **APPLICATION ELEMENTS**

See MPEP chapter 600  
concerning utility  
patent application contents.

## **ADDRESS TO:**

**Commissioner for Patents  
Box Patent Application  
PO Box 1450  
Alexandria, VA 22313-1450**

1. ☒ Fee Transmittal Form
2. ☒ Specification, Claims & Abstract..... [Total Pages: 40]
3. ☒ Drawing(s) (35 USC 113)..... [Total Sheets: 28] [FIGS. 1-3, 4A-4B, 10, 11A-11B, 12-18, 19A-19C, 20A-20B, 21-27]
4. ☒ Oath or Declaration..... [Total Pages: 6]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))
5. ☐ This application is filed by fewer than all the inventors named in the prior nonprovisional application.
  - a. ☐ **DELETE** the following inventor(s) named in the prior nonprovisional application:
  - b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
6. ☐ Verified Statement Claiming Small Entity Status
7. ☒ Incorporation by Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application (identified in Item 21), from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
8. ☐ Applicant claims foreign priority benefit to:
9. ☐ Application Data Sheet. See 37 C.F.R. 1.76
10. ☐ CD-Rom or CD-R in duplicate, large table or Computer Program (Appendix)
11. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies
12. ☒ Assignment to American Management Systems, Incorporated of Fairfax, Virginia at Reel 010097, Frame 0315  
☒ for publication of assignee information under 37 CFR 1.215(b)

## **ACCOMPANYING APPLICATION PARTS**

13. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
14. ☐ English Translation Document (if applicable)
15. ☐ Foreign priority benefit under 35 U.S.C. §119 is claimed.
  - a. ☐ Certified Copy of Priority Document(s) filed in prior application No..
  - b. ☐ Certified Copy of Priority Document(s) enclosed.
  - c. ☐ Certified Copy of Priority Document(s) to follow.
16. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
17. ☒ Preliminary Amendment
  - a. ☐ enclosed herewith.
  - b. ☒ incorporated herein (see Box 21).
18. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
19. ☐ Request and Certification for Nonpublication under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
20. ☐ Other:



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**21. CONTINUING APPLICATION**, check appropriate box and supply the requisite information below:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: 09/348,161.

Prior application information: Examiner: Christopher L. Gilligan  
Group/Art Unit: 3626


**Preliminary Amendment:**

- ☐ Cancel in this application original claims of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
- ☒ Amend the specification by inserting before the first line the sentence:--This application is a continuation of application number 09/348,161, filed July 7, 1999, now allowed.--

**22. NEW CORRESPONDENCE ADDRESS CUSTOMER NO. 21,171****21171**

PATENT TRADEMARK OFFICE

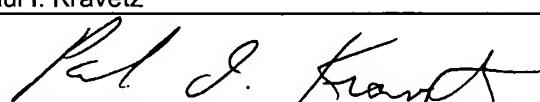
**23. SIGNATURE OF ATTORNEY OR AGENT**

NAME	Paul I. Kravetz	REGISTRATION NO.	35,230
SIGNATURE		DATE	January 14, 2004

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S&amp;H Form (10/03)

<b>NEW APPLICATION FEE TRANSMITTAL</b>		Attorney Docket No.	1330.1038C		
		Application Number			
		Filing Date	January 14, 2004		
AMOUNT ENCLOSED	\$ 770.00	First Named Inventor	Laurence HONARVAR, et al.		
<b>FEE CALCULATION</b> (fees effective 10/01/01)					
CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS	6 - 20 =	0	X \$ 18.00 =	\$ 0.00
	INDEPENDENT CLAIMS	2 - 3 =	0	X \$ 86.00 =	0.00
	MULTIPLE DEPENDENT CLAIMS (any number; if applicable)			+ \$290.00 =	
	BASIC FILING FEE				770.00
	Total of above Calculations =				\$ 770.00
	Surcharge for late filing fee, Oath or Declaration (37 CFR 1.53(f)) (\$130.00)				
	Reduction by 50% for filing by small entity (37 CFR 1.27).				
	TOTAL FILING FEE =				\$ 770.00
	Surcharge for filing non-English language application (\$130.00; 37 CFR 1.52(d))				
	Recordation of Assignment (\$40.00; 37 CFR 1.21(h))				
	TOTAL FEES DUE =				\$ 770.00
<b>METHOD OF PAYMENT</b>					
<input checked="" type="checkbox"/> Check enclosed as payment. <input type="checkbox"/> Charge "TOTAL FEES DUE" to the Deposit Account No. below. <input type="checkbox"/> No payment is enclosed and no charges to the Deposit Account are authorized at this time (unless specifically required to obtain a filing date).					
<b>GENERAL AUTHORIZATION</b>					
<input checked="" type="checkbox"/> If the above-noted "AMOUNT ENCLOSED" is not correct, the Commissioner is hereby authorized to credit any overpayment or charge any additional fees necessary to:					
Deposit Account No.		19-3935			
Deposit Account Name		STAAS & HALSEY LLP			
<input checked="" type="checkbox"/> The Commissioner is also authorized to credit any overpayments or charge any additional fees required under 37 CFR 1.16 (filing fees) or 37 CFR 1.17 (processing fees) during the prosecution of this application, including any related application(s) claiming benefit hereof pursuant to 35 USC 120 (e.g., continuations/divisionals/CIPs under 37 CFR 1.53(b) and/or continuations/divisionals/CPAs under 37 CFR 1.53(d)) to maintain pendency hereof or of any such related application.					
SUBMITTED BY: STAAS & HALSEY LLP					
Typed Name	Paul I. Kravetz		Reg. No.	35,230	
Signature			Date	January 14, 2004	

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